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Lehman Brothers Holdings Claims Processing c/o Epiq Bankruptcy Solutions, LLC FDR Station, PO Box 5076 New York, NY 10150-5076 United States

Contact: Fabian Müller T +41 31 950 73 12, F +41 31 950 76 51 fabian.mueller1@swisscom.com Gümligen, April 28<sup>th</sup>, 2014

In re: Lehman Brothers Holdings Inc.

Dear Sir or Madam

Please find attached one notice of transfer of claims

ISIN XS0251909635

Transferee: Berner Kantonalbank AG

Transferor: Bank J. Safra Sarasin AG

If you have any questions, please do not hesitate to contact us. We thank you in advance for your cooperation.

Yours faithfully

Swisscom IT Services, Banking Services

Fabian Müller

Head of Corporate Actions Gümligen

Alexander Imseng

**BPO Operations Specialist** 

#### Notice Pursuant to Bankruptcy Rule 3001

# UNITED STATES BANKRUPTCY COURT SOUTHERN DISTRICT OF NEW YORK

In re:

Lehman Brothers Holdings Inc.

Case No.: <u>08-13555 (JMP</u>

Court ID (Court Use Only)

# NOTICE OF TRANSFER OF CLAIMS OTHER THAN FOR SECURITY PURSUANT TO BANKRUPTCY RULE 3001(E)(2)

CLAIMS HAVE BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. §1111(a). Pursuant to Bankruptcy Rule 3001(e)(2), Transferee hereby gives notice of the transfer, other than for security, of the claims referenced herein.

| Name of Transferee:                        | Name of Transferor:                       |  |
|--|---|--|
| Berner Kantonalbank AG                     | Bank J. Safra Sarasin AG                  |  |
| Notices to Transferee should be sent to:   | Court Record Address of the Transferor:   |  |
| Berner Kantonalbank AG                     | (Court use only)                          |  |
| Postfach                                   |   |  |
| CH 3001 Bern                               |   |  |
| PHONE ++41 31 666 11 33                    |   |  |
| Attn: Samuel Stucki                        |   |  |
| EMAIL samuel.stucki@bekb.ch                |   |  |
| Name and Address where transferee payments | Name and Current Address of Transferor    |  |
| should be sent (if different from above):  | Bank J. Safra Sarasin AG                  |  |
|  | Elisabethenstrasse 62, P.O. Box           |  |
|  | 4002 Basel, Switzerland                   |  |
|  | Attn: Frank Link                          |  |
|  | +41 58 317 45 83                          |  |
|  | frank.link@jsafrasarasin.com              |  |
| Amount of Claim Being Transferred:         |   |  |
|  | WOTE TWO IS A BARTINI TRANSFER OF STANK   |  |
| CHF 2'000.00 (face amount of securities)   | NOTE: THIS IS A PARTIAL TRANSFER OF CLAIM |  |
| 2  | ONLY SEE ATTACHED EVIDENCE OF             |  |
| G (G) (1) ((G) ) 222                       | TRANSFER FOR DETAILS                      |  |
| Court Claim No. (if known): ???            |   |  |
| D  |   |  |
| Date Claim Filed: ???                      |   |  |
|  |   |  |

| I declare under penalty of perjury that the informati<br>the best of my knowledge and belief. | on provided in this notice is true and correct to |
|---|---|
| the best of my knowledge and belief.  |   |

By:

Samuel Stucki, authorized representative

Date: 25.4.2<sub>0</sub>/4

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years or both. 18 U.S.C. §§ 152 &3571. As set forth in the attached Evidence of Transfer of Claim, Transferor has waived to the fullest extent permitted by law any notice or right to receive notice of a hearing under Bankruptcy Rule 3001(e).

#### **EVIDENCE OF TRANSFER OF CLAIM**

TO: THE DEBTOR AND THE BANKRUPTCY COURT

For value received, the adequacy and sufficiency of which are hereby acknowledged, **Bank J. Safra Sarasin Ltd** ("<u>Transferor</u>") unconditionally and irrevocably transferred to **Berner Kantonalbank, Bern** ("<u>Transferee</u>") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with its claim (Claim No. 60387) in the amount of 2'000 pieces/units related to the securities with International Securities Identification Numbers listed on Schedule 1 hereto against Lehman Brothers Holdings, Inc. (the "<u>Debtor</u>"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "<u>Bankruptcy Court</u>").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS EXECUTED this 13. March, 2014.

Bank J. Safra Sarasin Ltd

Patrick Gribi

**Executive Director** 

Frank Link Vice President

ACKNOWLEDGED BY:

[Berner Kantonalbank AG]

Transferee

Nama:

Name: Samuel Stucki

Title: Authorized representative



### **SCHEDULE 1**

## Lehman Programs Securities Related to Transferred Portion of Claim:

| ISIN         | Court Claim | Date Claim Filed    | Issuer                               | Nominal Amount/Quantity of Claim related to Security to be transferred |
|--------------|-------------|---------------------|--------------------------------------|--|
| XS0251909635 | 60387       | October 29,<br>2009 | Lehman Brothers<br>Treasury Co. B.V. | 2'000  |